SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

OMB Number:	3235-0287							
Estimated average burden								
hours per response:	0.5							

Check this box if to Section 16. For obligations may c	rm 4 or Form 5	_	IT OF CHANGES IN BENEFICIAL OWN	_	OMB Number: Estimated average burg hours per response:	3235-0287 den 0.5
Instruction 1(b).		Filed	pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940	•	1	·
1. Name and Addres Francois Cedu	1 0	ı*	2. Issuer Name and Ticker or Trading Symbol <u>Apellis Pharmaceuticals, Inc.</u> [APLS]	(Check all applicab X Director	, 10% C	Owner
	(First) HARMACEUTIC NUE, 3RD FLOO		3. Date of Earliest Transaction (Month/Day/Year) 04/27/2023	X Officer (gi below) Chief	Executive Officer	(specify)
(Street) WALTHAM (City)	MA (State)	02451 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	Line) X Form filed	t/Group Filing (Check , by One Reporting Per by More than One Rep	son

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(
Common Stock	04/27/2023		G		382,946	D	\$ <mark>0</mark>	274,655	D	
Common Stock	04/27/2023		G		382,946	A	\$0	382,946	I (1)	Indirect Owner (The Cedric Francois Irrevocable Trust of 2023 - 2)
Common Stock								634,211	I ⁽²⁾	Indirect Owner (The Cedric Francois Irrevocable Trust of 2023)
Common Stock								300,000	I (3)	Indirect Owner (The Francois Grossi Trust)
Common Stock								234,411	I ⁽⁴⁾	Indirect Owner (The Francois- DuBois Educationa Trust)

	Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)														
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code (8)		of		6. Date Exerc Expiration Da (Month/Day/Y	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. On April 27, 2023, the reporting person transferred 382,946 shares, to The Cedric Francois Irrevocable Trust of 2023 - 2. William V. A. Zorn is the trustee of The Cedric Francois Irrevocable Trust of 2023 - 2. The reporting person disclaims beneficial ownership over the shares held by The Cedric Francois Irrevocable Trust of 2023 - 2 except to the extent of his pecuniary interest therein. 2. The securities are held by The Cedric Francois Irrevocable Trust of 2023. William V. A. Zorn is the trustee of The Cedric Francois Irrevocable Trust of 2023. The reporting person disclaims beneficial ownership over the shares held by The Cedric Francois Irrevocable Trust of 2023 except to the extent of his pecuniary interest therein.

3. The securities are held by The Francois Grossi Trust, for which Juliana Grossi, the spouse of the reporting person, serves as trustee. The reporting person disclaims beneficial ownership over the shares held by The Francois Grossi Trust except to the extent of his pecuniary interest therein.

4. The securities are held by The Francois-DuBois Educational Trust, for which the Fiduciary Trust Company of New England serves as trustee. The reporting person disclaims beneficial ownership over the shares held by The Francois-DuBois Educational Trust except to the extent of his pecuniary interest therein.

/s/ David Watson, attorney-infact for Cedric Francois 04/28/2023

** Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.